

## FORMALITIES LETTER



\*OC000000005036749\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/491,461         | 01/26/2000          | Paul Dagum            | RAPTP001X!             |

22434  
BEYER WEAVER & THOMAS LLP  
PO BOX 130  
MOUNTAIN VIEW, CA 94042-0130

Date Mailed: 04/07/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

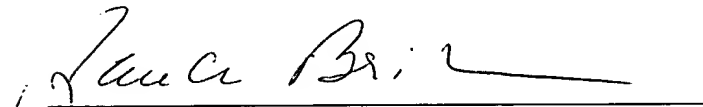
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$18.  
    ■ \$18 for 1 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 838.**

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

05/26/2000 6TEFFERA 00000042 09491461

|           |           |
|-----------|-----------|
| 01 FC:201 | 345.00 OP |
| 02 FC:203 | 9.00 OP   |
| 03 FC:205 | 65.00 OP  |

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) – SMALL BUSINESS CONCERN**

Application No.: 09/491,461

Filing Date: 1/26/2000

Applicant(s): Thomas A. Chavez et al.

Title: Method and Apparatus for Optimizing Multivariate Allocation of Resources.

I hereby declare that I am the owner of, or an official empowered to act on behalf of, the entity identified below:

Name of Concern: **Rapt Technologies Corporation**  
Address of Concern: **324 Ritch Street**  
**San Francisco, CA 94107**

I hereby declare that the concern identified above qualifies as a small business concern as defined in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention identified above and described in the application for Letters Patent filed herewith.

If the rights held by the concern identified above are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

|          |  |   |
|----------|--|---|
| Name:    |  | <input type="checkbox"/> Individual             |
| Address: |  | <input type="checkbox"/> Small Business Concern |
|          |  | <input type="checkbox"/> Nonprofit Organization |


I acknowledge the duty to file, in this application for patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

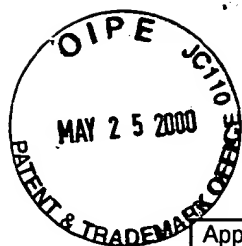
**ASSIGNEE: RAPT TECHNOLOGIES CORPORATION**

**Rapt Technologies Corporation**  
**324 Ritch Street**  
**San Francisco, CA 94107**

Official Authorized to Act on Behalf of Assignee:

Signature:   
Name: Thomas A. Chavez  
Title: President & CEO

5/16/00  
Date



# FEE TRANSMITTAL

|                       |  |
|-----------------------|--|
| Application Number:   | 09/491,461   |
| Filing Date:          | 1/26/2000  |
| First Named Inventor: | Thomas A. Chavez et al.  |
| Title of Invention:   | Method and Apparatus for Optimizing Multivariate Allocation of Resources |
| Group Art Unit:       | Not Yet Assigned   |
| Examiner:             | Not Yet Assigned   |
| Attorney Docket No.:  | RAP-102  |

## Fee Calculation:

for ☐ Large Entity / ☒ Small Entity.

### Basic Billing Fee:

☒ Utility Patent Application: \$690 / \$345 \$ 345

☐ Provisional Patent Application: \$150 / \$75 \$

### Claims:

☒ Number of Total Claims Over 20: [ 1 ] x \$18 / \$9 = \$ 9

☐ No. of Independent Claims Over 3: [ ] x \$89 / \$39 = \$

### Other Fees:

☐ Extension of time, 1 month \$110 / \$55 \$

☐ Extension of time, 2 months \$380 / \$190 \$

☐ Extension of time, 3 months \$870 / \$435 \$

☐ Extension of time, 4 months \$1360 / \$680 \$

☒ Missing Parts Surcharge (Regular Application) \$130 / \$65 \$ 65

☐ Missing Parts Surcharge (Provisional Application) \$50 / \$25 \$

☒ Recordation of Assignment Document \$40 \$ 40

☐ Issue Fee \$1210 / \$605 \$

☐ Printed Patent; Number of Copies: [ ] x \$3 = \$

☐ Other: Statement as Status as Small Entity (37 CFR § 1.27) \$35 = \$

**TOTAL PAYMENT:** \$ 459

## Method of Payment:

☒ Payment Enclosed

☒ Check

## Signature of Applicant, Attorney, or Agent

  
Marek Albozsta, Reg. No. 39,894

Date 22 May 2000



05-25-00

Sector #

|  |   |                      |
|--|---|----------------------|
| <b>TRANSMITTAL<br/>FORM</b><br><br>(for all correspondence after initial filing) | Attorney Docket No. <b>RAP-102</b>              | Total Pages <b>8</b> |
|  | Application Number<br><b>09/491,461</b>         |                      |
|  | Filing Date<br><b>1/26/2000</b>                 |                      |
|  | First Named Inventor<br><b>THOMAS A. CHAVEZ</b> |                      |
|  | Group Art Unit<br><b>NOT YET ASSIGNED</b>       |                      |
|  | Examiner<br><b>NOT YET ASSIGNED</b>             |                      |

| ENCLOSURES (check all that apply)                                      |   |
|--|---|
| <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) | <input checked="" type="checkbox"/> Response to Notice of Missing Parts |
| <input checked="" type="checkbox"/> Fee Transmittal Form               | <input checked="" type="checkbox"/> Small Entity Statement              |
| <input checked="" type="checkbox"/> Fee Attached                       | <input checked="" type="checkbox"/> Declaration by Inventors            |
| <input type="checkbox"/> Response/Amendment                            | <input checked="" type="checkbox"/> Assignment papers                   |
| <input type="checkbox"/> After Final Rejection                         | <input checked="" type="checkbox"/> Power of Attorney by Assignee       |
| <input type="checkbox"/> After Allowance communication to Group        | <input type="checkbox"/> IDS/PTO-1449                                   |
| <input type="checkbox"/> with Corrected Drawing(s) Total Sheets: [ ]   | <input type="checkbox"/> with copies of cited references                |
| <input type="checkbox"/> with Affidavits/Declarations                  | <input type="checkbox"/> New Power of Attorney and Revocation of Old    |
| <input type="checkbox"/> Extension of Time Request                     | <input type="checkbox"/> Change of Correspondence Address               |
| <input type="checkbox"/> Express Abandonment Request                   | <input type="checkbox"/> Other:   |

| SIGNATURE OF AGENT |                                       |
|--------------------|---------------------------------------|
| NAME               | <b>MAREK ALBOZSTA REG. NO. 39,894</b> |
| Signature          | <i>Marek Albozsta</i>                 |
| Date               | <i>22 May 2000</i>                    |

| Certificate of Mailing by "Regular Mail"   |  |
|--|--|
| I hereby certify that this correspondence is being deposited on the date indicated below as first class mail with the U.S. Postal Service addressed to the ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231. |  |
| <i>Marek Albozsta</i><br><b>MAREK ALBOSZTA</b><br><b>REG. NO. 39,894</b>   | <b>DATE OF MAILING:</b> <i>22 May 2000</i> |